BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

Statement of Purpose for an Extension of Credit Secured By Margin Stock (Federal Reserve Form U-1)

NORTHERN TRUST BANK, N.A.

Name of	Bank	
This report is required by law (15 U.S.C. 78g and 78w; 12 CFR 221). The Federal Reserve may not conduct or sponsor, and an organization (or a person) is not required to respond to, a collection of information unless it displays a currently valid OMB control number.	Public reporting burden for this collection of information is estimated to average 10 minutes per response, including the time to gather and maintain data in the required form and to review instructions and complete the information collection. Send comments regarding this burden estimate, includin suggestions for reducing this burden, to Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, N.W., Washington, D.C. 20551 and to the Office of Management and Budget, Paperwork Reduction Project (7100-0115), Washington, D.C. 20503.	g ;
INSTRUCTIONS		
1. This form must be completed when a bank extends credit in excess of \$ stock.	100,000 secured directly or indirectly, in whole or in part, by any r	nargin
2. The term "margin stock" is defined in Regulation U (12 CFR 221) and ir exchange; (2) debt securities (bonds) that are convertible into margin stocks the National Market System under a designation plan approved by the Secur mutual funds, unless 95 per cent of the assets of the fund are continuously inv	(3) any over-the-counter security designated as qualified for tradi- ities and Exchange Commission (NMS security); and (4) shares of	na in
3. Please print or type (if space is inadequate, attach separate sheet).		
2. Will any part of this credit be used to purchase or carry margin stock?	□ Yes ☑ No	- -
If the answer is "no", describe the specific purpose of the credit.	rold Rusposes	
I (We) have read this form and certify that to the best of my (our) knowledge the margin stock and any other securities collateralizing this credit are authentic	and belief the information given is true, accurate, and complete, and c, genuine, unaltered, and not stolen, forged, or counterfeit.	d that
Signed:	Signed:	
Borrower's Signature Date	Borrower's Signature Date	
Bryan Berard		
Print or Type Mame	Print or Type Name	_

This form should not be signed if blank.

A borrower who falsely certifies the purpose of a credit on this form or otherwise willfully or intentionally evades the provisions of Regulation U will also violate Federal Reserve Regulation X, "Borrowers of Securities Credit."

F.R. U-1 Page 2 of 2

PART II To be completed by bank only if the purpose of the credit is to purchase or carry margin securities (Part I (2) answered "yes")

1.	List the margin stock securing this credit; do not include debt securities convertible into margin stock.	The maximum loan value of margin stock is
50	per cent of its current market value under the current Supplement to Regulation U.	

No. of shares	Issue	Market price per share	Date and source of valuation (See note below)	Total market value per issue

2. List the debt securities convertible into margin stock securing this credit. The maximum loan value of such debt securities is 50 per cent of the current market value under the current Supplement to Regulation U.

Principal amount	Issue	Market price	Date and source of valuation (See note below)	Total market value per issue

3. List other collateral including nonmargin stock securing this credit.

Describe briefly	Market price	Date and source of valuation (See note below)	Good faith loan value

Note: Bank need not complete "Date and source of valuation" if the market value was obtained from regularly published information in a journal of general circulation or automated quotation system.

PART III To be signed by a bank officer in all instances

I am a duly authorized representative of the bank and understand that this credit secured by margin stock may be subject to the credit restrictions of Regulation U. I have read this form and any attachments, and I have accepted the customer's statement in Part I in good faith as required by Regulation U*; and I certify that to the best of my knowledge and belief, all the information given is true, accurate, and complete. I also certify that if any securities that directly secure the credit are not or will not be registered in the name of the borrower or its nominee, I have or will cause to have examined the written consent of the registered owner to pledge such securities. I further certify that any securities that have been or will be physically delivered to the bank in connection with this credit have been or will be examined, that all validation procedures required by bank policy and the Securities Exchange Act of 1934 (section 17 (f), as amended) have been or will be performed, and that I am satisfied to the best of my knowledge and belief that such securities are genuine and not stolen or forged and their faces have not been altered.

	Signed:
Date	Bank dfilder's signature
	ROBERT J. GARDINER
Title	Print or type name VICE PRESIDENT
	Northern Trust Bank of Arizona

^{*} To accept the customer's statement in good faith, the officer of the bank must be alert to the circumstances surrounding the credit and, if in possession of any information that would cause a prudent person not to accept the statement without inquiry, must have investigated and be satisfied that the statement is truthful. Among the facts which would require such investigation are receipt of the statement through the mail or from a third party.

BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

Statement of Purpose for an Extension of Credit Secured By Margin Stock (Federal Reserve Form U-1)

NORTHERN TRUST BANK, N.A.

Name of Ban

This report is required by law (15 U.S.C. 78g and 78w, 12 CFR 221).

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INSTRUCTIONS

- 1. This form must be completed when a bank extends credit in excess of \$100,000 secured directly or indirectly, in whole or in part, by any margin stock
- 2. The term "margin stock" is defined in Regulation U (12 CFR 221) and includes, principally: (1) stocks that are registered on a national securities exchange; (2) debt securities (bonds) that are convertible into margin stocks; (3) any over-the-counter security designated as qualified for trading in the National Market System under a designation plan approved by the Securities and Exchange Commission (NMS security); and (4) shares of most mutual funds, unless 95 percent of the assets of the fund are continuously invested in U.S. government, agency, state, or municipal obligations.
- 3. Please print or type (if space is inadequate, attach separate sheet).

PART I To be completed by borrower(s) 1. What is the amount of the credit being extended? \$2,200,0	000	
2. Will-any part of this credit be used to purchase or carry margin stock?	☐ Yes	
If the answer is "no", describe the specific purpose of the credit. Investment in Little Isle IV LLC		
I (We) have read this form and certify that to the best of my (our) knowledges the margin stock and any other securities collateralizing this credit are authorities.		
Signed:	Signed:	
Borrower's Signature 10/29/09	Borrower's Signature	Date
Owen Nolan Print or Type Name	Print or Type Name	·

This form should not be signed if blank.

A borrower who falsely certifies the purpose of a credit on this form or otherwise willfully or intentionally evades the provisions of Regulation U will also violate Federal Reserve Regulation X, "Borrowers of Securitles Credit."

Case 2:13-cr-00607-JFB-AYS Document 868-14 Filed 06/24/20 Page 4 of 11 PageID #: 24775

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PART II To be completed by bank only if the purpose of the credit is to purchase or carry margin securities (Part I (2) answered "ves").

1. List the margin stock securing this credit; do not include debt securities convertible into margin stock. The maximum loan value of margin stock is 50 percent of its current market value under the current Supplement to Regulation U.

No. of shares	Issue	Market price per share	Date and source of valuation (See note below)	Total market value per issue

2. List the debt securities convertible into margin stock securing this credit. The maximum loan value of such debt securities is 50 percent of the current market value under the current Supplement to Regulation U.

Principal amount	Issue	Market price	Date and source of valuation (See note below)	Total market value per issue

3. List other collateral including nonmargin stock securing this credit.

Describe briefly	Market price	Date and source of valuation (See note below)	Good faith loan value
			•

Note: Bank need not complete "Date and source of valuation" if the market value was obtained from regularly published information in a journal of general circulation or automated countation system.

PART III To be signed by a bank officer in all instances

I am a duly authorized representative of the bank and understand that this credit secured by margin stock may be subject to the credit restrictions of Regulation U. I have read this form and any attachments, and I have accepted the customer's statement in Part I in good faith as required by Regulation U^{*}, and I certify that to the best of my knowledge and belief, all the information given is true, accurate, and complete. I also certify that if any securities that directly secure the credit are not or will not be registered in the name of the borrower or its nomines, I have or will cause to have examined the written consent of the registered owner to pledge such securities. I further certify that any securities that have been or will be physically delivered to the bank in connection with this credit have been or will be examined, that all validation procedures required by bank policy and the Securities Exchange Act of 1934 (section 17 (f), as amended) have been or will be performed, and that I am satisfied to the best of my knowledge and belief that such securities are genuine and not stolen or forged and their faces have not been aftered.

Octoer 15, 2004	Signed: Bank officer's signature
Vice President	Edward B Wilson
Title	Print or type name

^{*} To accept the customer's statement in good faith, the officer of the bank must be alert to the circumstances surrounding the credit and, if in possession of any information that would cause a prudent person not to accept the statement without inquiry, must have investigated and be satisfied that the statement is furthful. Among the facts which would require such investigation are receipt of the statement through the mail or from a third party.

BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

Statement of Purpose for an Extension of Credit Secured By Margin Stock (Federal Reserve Form U-1)

NORTHERN I	ne of Bank
This report is required by law (15 U.S.C, 78g and 78w; 12 CFR 221). The Federal Reserve may not conduct or sponsor, and an organization (or a person) is not required to respond to, a collection of information unless it displays a currently valid OMB control number.	Public reporting burden for this collection of information is estimated to average 10 minutes per response, including the time to gather and maintain data in the required form and to review instructions and complete the information collection. Send comments regarding this burden estimate, including suggestions for reducing this burden, to Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, N.W., Washington, D.C. 20551; and to the Office of Management and Budget, Paperwork Reduction Project (7100-0115), Washington, D.C. 20503.
INSTRUCTIONS	
1. This form must be completed when a bank extends credit in excess stock.	of \$100,000 secured directly or indirectly, in whole or in part, by any margin
exchange: (2) debt securities (bonds) that are convertible into margin sto	nd includes, principally: (1) stocks that are registered on a national securities toks; (3) any over-the-counter security designated as qualified for trading in ecurities and Exchange Commission (NMS security); and (4) shares of most invested in U.S. government, agency, state, or municipal obligations.
PART I To be completed by borrower(s)	
1. What is the amount of the credit being extended? \$480,0	000.00
2. Will any part of this credit be used to purchase or carry margin stock?	Yes XXXIII
If the answer is "no", describe the specific purpose of the credit. Investment in Little Isle IV LLC	
I (We) have read this form and certify that to the best of my (our) knowled the margin stock and any other securities collateralizing this credit are authorized.	dge and belief the information given is true, accurate, and complete, and that hentic, genuine, unaltered, and not stolen, forged, or counterfeit.
Signed: 1//2 4/2 4	Signed:
Borrower's Signature Date	Borrower's Signature Date
Steven A Rucchin	
Print or Type Name	Print or Type Name

This form should not be signed if blank.

A borrower who falsely certifies the purpose of a credit on this form or otherwise willfully or Intentionally evades the provisions of Regulation U will also violate Federal Reserve Regulation X, "Borrowers of Securities Credit."

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ART II To be compl	eted by bank only if the purpose of the	ne credit is to purchase or carry r	nargin securities (Part I (2) and	swered "yes")
	securing this credit; do not include of market value under the current Supp		argin stock. The maximum le	pan value of margin stock is
No. of shares	Issue	Market price per share	Date and source of valuation (See note below)	Total market value per issue
	ies convertible into margin stock se der the current Supplement to Regula Issue		Date and source of valuation	curities is 50 percent of the Total market value per issue
			(See note below)	
. List other collateral in	cluding nonmargin stock securing the	s credit.		
	Describe briefly	Market price	Date and source of valuation (See note below)	Good faith Ioan value
ote: Bank need not complete	"Date and source of valuation" if the market val	ue was obtained from regularly published	information in a journal of general circu	lation or automated
ART III To be signe	ed by a bank officer in all instances			
Regulation U. I have a Regulation U*; and I cer any securities that direct examined the written co- delivered to the bank in Securities Exchange Ac	representative of the bank and underead this form and any attachments thifty that to the best of my knowledgetly secure the credit are not or will nesent of the registered owner to pleat a connection with this credit have bett of 1934 (section 17 (f), as amenders are genuine and not stolen or forget	s, and I have accepted the cuse and belief, all the information on the registered in the name of dge such securities. I further celeen or will be examined, that ald) have been or will be performed.	itomer's statement in Part I in jiven is true, accurate, and co the borrower or its nominee, rifly that any securities that ha Il validation procedures required, and that I am satisfied to th	n good faith as required by mplete. I also certify that if I have or will cause to have we been or will be physically ed by bank policy and the
		Signed:	and y	
NTerroral	2 2004			
November Date	3, 2004	Bank officer's	signature	70

This form must be retained by the lender for three years after the credit is extinguished.

would cause a prudent person not to accept the statement without inquiry, must have investigated and be satisfied that the statement is truthful. Among the facts which would

require such investigation are receipt of the statement through the mail or from a third party.

F.R. U-1 O.M.B. N Approv

BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

Statement of Purpose for an Extension of Credit Secured By Margin Stock (Federal Reserve Form U-1)

NORTHERN	TRUST	BANK,	N.A.	
	Name of Bank			

This report is required by law (15 U.S.C. 78g and 78w; 12 CFR 221).

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INSTRUCTIONS

- 1. This form must be completed when a bank extends credit in excess of \$100,000 secured directly or indirectly, in whole or in part, by any margin
- 2. The term "margin stock" is defined in Regulation U (12 CFR 221) and includes, principally: (1) stocks that are registered on a national securities exchange; (2) debt securities (bonds) that are convertible into margin stocks; (3) any over-the-counter security designated as qualified for trading in the National Market System under a designation plan approved by the Securities and Exchange Commission (NMS security); and (4) shares of most mutual funds, unless 95 percent of the assets of the fund are continuously invested in U.S. government, agency, state, or municipal obligations.
- 3. Please print or type (if space is inadequate, attach separate sheet).

PART I To be completed by borrower(s)		_		
1. What is the amount of the credit being extended?	900,000.00			
2. Will any part of this credit be used to purchase or c	arry margin stock?	☐ Yes	Q _X No	
If the answer is "no", describe the specific purpose of	the credit.			
Investment in speculative	real estate			
! (We) have read this form and certify that to the best	of my (our) knowledge	and belief the inf	ormation given is true, accurate	. and complete, and that
the margin stock and any other securities collateralizing	g this credit are authenti	c, genuine, unalt	ered, and not stolen, forged, or o	counterfeit.
Signed:		Cianada		
		Signed:		
- (ce) 3	-7-05			
Borrower's-Signature	Date	Borrower's Sig	gnature	Date
Bryan Berard				
Print or Type Name		Print or Type I	Name	

This form should not be signed if blank.

A borrower who falsely certifies the purpose of a credit on this form or otherwise willfully or intentionally evades the provisions of Regulation U will also violate Federal Reserve Regulation X, "Borrowers of Securities Credit."

BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

Statement of Purpose for an Extension of Credit Secured By Margin Stock (Federal Reserve Form U-1)

NORTHERN TRUST BANK, N.A. Name of Bank This report is required by law (15 U.S.C. 78g and 78w; 12 CFR 221). Public reporting burden for this collection of information is estimated to average 10 minutes per response, including the time to gather and maintain data in the The Federal Reserve may not conduct or sponsor, and an organization (or a person) is not required form and to review instructions and complete the information required to respond to, a collection of information unless it displays a currently valid collection. Send comments regarding this burden estimate, including suggestions for reducing this burden, to Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, N.W., Washington, D.C. 20551; and to the Office of Management and Budget, Paperwork Reduction Project (7100-0115), Washington, D.C. 20503. 1. This form must be completed when a bank extends credit in excess of \$100,000 secured directly or indirectly, in whole or in part, by any margin 2. The term "margin stock" is defined in Regulation U (12 CFR 221) and includes, principally: (1) stocks that are registered on a national securities exchange; (2) debt securities (bonds) that are convertible into margin stocks; (3) any over-the-counter security designated as qualified for trading in the National Market System under a designation plan approved by the Securities and Exchange Commission (NMS security); and (4) shares of most mutual funds, unless 95 percent of the assets of the fund are continuously invested in U.S. government, agency, state, or municipal obligations. 3. Please print or type (if space is inadequate, attach separate sheet). PART I To be completed by borrower(s) \$1,775,000.00 1. What is the amount of the credit being extended? 2. Will any part of this credit be used to purchase or carry margin stock? ☐ Yes OKK

I (We) have read this form and certify that to the best of my (our) knowledge and belief the information given is true, accurate, and complete, and that the margin stock and any other securities collateralizing this credit are authentic, genuine, unaltered, and not stolen, forged, or counterfeit.

Increase to existing loan used for speculative real estate investments

Signed: Borrower's Signature Date <u>Michael Peca</u> Print or Type Name

If the answer is "no", describe the specific purpose of the credit.

OMB control number.

INSTRUCTIONS

Signed:

Borrower's Signature Date

Print or Type Name

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F.R. U-1 Page 2 of 2

PART II To be completed by bank only if the purpose of the credit is to purchase or carry margin securities (Part I (2) answered "yes")

1. List the margin stock securing this credit; do not include debt securities convertible into margin stock. The maximum loan value of margin stock is 50 percent of its current market value under the current Supplement to Regulation U.

No. of shares	Issue	Market price per share	Date and source of valuation (See note below)	Total market value per issue

2. List the debt securities convertible into margin stock securing this credit. The maximum loan value of such debt securities is 50 percent of the current market value under the current Supplement to Regulation U.

Principal amount	Issue	Market price	Date and source of valuation (See note below)	Total market value per issue

3. List other collateral including nonmargin stock securing this credit.

Describe briefly	Market price	Date and source of valuation (See note below)	Good faith Ioan value

Note: Bank need not complete "Date and source of valuation" if the market value was obtained from regularly published information in a journal of general circulation or automated quotation system.

PART III To be signed by a bank officer in all instances

I am a duly authorized representative of the bank and understand that this credit secured by margin stock may be subject to the credit restrictions of Regulation U. I have read this form and any attachments, and I have accepted the customer's statement in Part I in good faith as required by Regulation U*; and I certify that to the best of my knowledge and belief, all the information given is true, accurate, and complete. I also certify that if any securities that directly secure the credit are not or will not be registered in the name of the borrower or its nominee, I have or will cause to have examined the written consent of the registered owner to pledge such securities. I further certify that any securities that have been or will be physically delivered to the bank in connection with this credit have been or will be examined, that all validation procedures required by bank policy and the Securities Exchange Act of 1934 (section 17 (f), as amended) have been or will be performed, and that I am satisfied to the best of my knowledge and belief that such securities are genuine and not stolen or forged and their faces have not been altered.

July 1, 2005	Signed: Signed: Signed:
Date	Bank officer's signature
Vice President	Edward B Wilson
Title	Print or type name

^{*} To accept the customer's statement in good faith, the officer of the bank must be alert to the circumstances surrounding the credit and, if in possession of any information that would cause a prudent person not to accept the statement without inquiry, must have investigated and be satisfied that the statement is truthful. Among the facts which would require such investigation are receipt of the statement through the mail or from a third party.

BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

Statement of Purpose for an Extension of Credit Secured By Margin Stock (Federal Reserve Form U-1)

NORTHERN TRUST BANK, N.A.

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INSTRUCTIONS

- 1. This form must be completed when a bank extends credit in excess of \$100,000 secured directly or indirectly, in whole or in part, by any margin stock.
- 2. The term "margin stock" is defined in Regulation U (12 CFR 221) and includes, principally: (1) stocks that are registered on a national securities exchange; (2) debt securities (bonds) that are convertible into margin stocks; (3) any over-the-counter security designated as qualified for trading in the National Market System under a designation plan approved by the Securities and Exchange Commission (NMS security); and (4) shares of most mutual funds, unless 95 percent of the assets of the fund are continuously invested in U.S. government, agency, state, or municipal obligations.
- 3. Please print or type (if space is inadequate, attach separate sheet).

PART I To be completed by borrower(s)			
What is the amount of the credit being extended?	1,000,000.00		
2. Will any part of this credit be used to purchase or carry margin	stock?	□X No	
If the answer is "ne", describe the specific purpose of the credit.			
Investment in Little Isle IV LI	ıC		
			the same of the sa
1			
i (We) have read this form and certify that to the best of my (our) the margin stock and any other securities collateralizing this credit			
Signed: // / /	Signed:		
11-110	g		
Alex 1/03/05			
Borrower's Signature Date	Borrower's S	Signature	Date
Steven A Rucchin			
Print or Type Name	Print or Type	Name	

This form should not be signed if blank.

A borrower who falsely certifies the purpose of a credit on this form or otherwise willfully or intentionally evades the provisions of Regulation U will also violate Federal Reserve Regulation X, "Borrowers of Securities Credit."

F.R. U-1 Page 2 of 2

PART II To be completed by bank only if the purpose of the credit is to purchase or carry margin securities (Part I (2) answered "yes")

1. List the margin stock securing this credit; do not include debt securities convertible into margin stock. The maximum loan value of margin stock is 50 percent of its current market value under the current Supplement to Regulation U.

No. of shares	Issue	Market price per share	Date and source of valuation (See note below)	Total market value per issue
		·		

2. List the debt securities convertible into margin stock securing this credit. The maximum loan value of such debt securities is 50 percent of the current market value under the current Supplement to Regulation U.

Principal amount	Issue	Market price	Date and source of valuation (See note below)	Total market value per issue

3. List other collateral including nonmargin stock securing this credit.

Describe briefly	Market price	Date and source of valuation (See note below)	Good faith Ioan value

Note: Bank need not complete "Date and source of valuation" if the market value was obtained from regularly published information in a journal of general circulation or automated quotation system.

PART III To be signed by a bank officer in all instances

I am a duly authorized representative of the bank and understand that this credit secured by margin stock may be subject to the credit restrictions of Regulation U. I have read this form and any attachments, and I have accepted the customer's statement in Part I in good faith as required by Regulation U*; and I certify that to the best of my knowledge and belief, all the information given is true, accurate, and complete. I also certify that if any securities that directly secure the credit are not or will not be registered in the name of the borrower or its nominee, I have or will cause to have examined the written consent of the registered owner to pledge such securities. I further certify that any securities that have been or will be physically delivered to the bank in connection with this credit have been or will be examined, that all validation procedures required by bank policy and the Securities Exchange Act of 1934 (section 17 (f), as amended) have been or will be performed, and that I am satisfied to the best of my knowledge and belief that such securities are genuine and not stolen or forged and their faces have not been altered.

December 20, 2004	Signed: ECP W	
Date	Bank officer's signature	
Vice President	Edward B Wilson	
Title	Print or type name	

^{*} To accept the customer's statement in good faith, the officer of the bank must be alert to the circumstances surrounding the credit and, if in possession of any information that would cause a prudent person not to accept the statement without inquiry, must have investigated and be satisfied that the statement is truthful. Among the facts which would require such investigation are receipt of the statement through the mail or from a third party.